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Deposited August 00

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COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, DC 20231

Signature of Person Undertaking Mailing

Docket No.: 3024/FLK

Date: August 31, 2000

Transmitted herewith for filing is the patent application of **Mark A. NORDLICHT, Yechiel A. ZUCKER, Howard A. FEDER and David BOIM**  
(Names of Inventors)

**FOR: SYSTEM AND METHOD FOR REAL-TIME TRADING OVER A COMPUTER NETWORK**  
(Title of Application)

## ENCLOSED ARE:

- (x) **Specification** (36 pages), Claims (5 pages/28 claims) & **Abstract**: Yes X; 8 Sheets of Drawings - Figs. 1-8, 5-7-8/31/00  
(x) **Declaration and Power of Attorney EXECUTED?** Yes X  
(x) **Assignment to Optionable, Inc.** of 225 Broadway, New York, New York  
(x) Certified copy of the priority of which is claimed under 35 USC 119;  
(x) Verified Statement to establish **Small Entity Status** under 37 CFR 1.9 and 1.27  
(x) Information Disclosure Statement, PTO-1449 and \_\_\_\_\_ references;

## THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:

	Claims filed	Extra	SMALL ENTITY or LARGE ENTITY	
Basic Fee			\$	\$690.00
Total Claims	28-20	8	\$	\$144.00
Indep. Claims	2-3	0	\$	\$
Multiple Dep. Claim Presented?		0	\$	\$
Total Filing Fee			\$	\$834.00
Assignment recordal fee (\$40.00):			\$	\$ 40.00
<b>PLEASE CHARGE:</b>			\$	\$874.00

( ) Enclosed is check(s) for the fees indicated above.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **50-1290**. A duplicate copy of this sheet is enclosed.

- (x) The fees indicated above.  
(x) Any additional filing fees required under 37 CFR 1.16.  
(x) Any filing fees under 37 CFR 1.16 for the presentation of extra claims.

Respectfully submitted  
for Applicant,

Shahan Islam  
Reg. No. 32,507

Rosenman & Colin LLP  
575 Madison Avenue  
New York, NY 10022-2585  
(212) 940-8564

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: (check one) ☒ Application of: Mark A. Nordlicht, Yechiel A. Zucker, Howard A. Feder, David Boim  
(Inventor Names)

☒ Serial No.: Unassigned ☐ Patent of: \_\_\_\_\_  
Serial No. Patent No.

☒ Filed.: Herewith Examiner: Unassigned  
Filing Date or Herewith

☐ Issued: \_\_\_\_\_ Group Art Unit: Unassigned  
Date of Issuance

For: System and Method For Real-Time Trading Over a Computer Network  
Title of Invention

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**[37 CFR 1.9(f) and 1.27(c)]-Small Business Concern**

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

I hereby declare that I am:

- ☒ the owner of the small business concern identified below:  
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of concern Optionable, Inc.

Address of concern 225 Broadway, Suite 1810, New York, NY 10007

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern and/or there is an obligation under contract or law by the inventor(s) to convey rights to the small business concern with regard to the invention identified above and described in:

- ☐ the specification filed herewith  
☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_  
☐ patent no. \_\_\_\_\_, filed \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name: \_\_\_\_\_  
Address: \_\_\_\_\_

☐ INDIVIDUAL      ☐ SMALL BUSINESS CONCERN      ☐ NONPROFIT ORGANIZATION

Full Name: \_\_\_\_\_  
Address: \_\_\_\_\_

☐ INDIVIDUAL      ☐ SMALL BUSINESS CONCERN      ☐ NONPROFIT ORGANIZATION

Full Name: \_\_\_\_\_  
Address: \_\_\_\_\_

☐ INDIVIDUAL      ☐ SMALL BUSINESS CONCERN      ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is not longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to:  
Shahan Islam  
**ROSENMAN & COLIN LLP**  
575 Madison Avenue  
New York, New York 10022-2585  
sislam@rosenman.com

Direct Telephone calls to:  
Shahan Islam, Esq.  
(212) 940-8564

Name of person signing: Mark A. Nordlicht

Address of person signing: 225 Broadway, Suite 1810, New York, NY 10007

Signature: Mark A Nordlicht      Date: 2000

**\*NOTE:** Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities.

**ADDITIONAL CONVEYING PARTY**

Howard A. FEDER

August 29, 2000

David BOIM

August 29, 2000

1977/78	1978/79	1979/80	1980/81	1981/82	1982/83	1983/84	1984/85	1985/86	1986/87	1987/88	1988/89	1989/90	1990/91	1991/92	1992/93	1993/94	1994/95	1995/96	1996/97	1997/98	1998/99	1999/00	2000/01	2001/02	2002/03	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	2030/31	2031/32	2032/33	2033/34	2034/35	2035/36	2036/37	2037/38	2038/39	2039/40	2040/41	2041/42	2042/43	2043/44	2044/45	2045/46	2046/47	2047/48	2048/49	2049/50	2050/51	2051/52	2052/53	2053/54	2054/55	2055/56	2056/57	2057/58	2058/59	2059/60	2060/61	2061/62	2062/63	2063/64	2064/65	2065/66	2066/67	2067/68	2068/69	2069/70	2070/71	2071/72	2072/73	2073/74	2074/75	2075/76	2076/77	2077/78	2078/79	2079/80	2080/81	2081/82	2082/83	2083/84	2084/85	2085/86	2086/87	2087/88	2088/89	2089/90	2090/91	2091/92	2092/93	2093/94	2094/95	2095/96	2096/97	2097/98	2098/99	2099/00	2100/01	2101/02	2102/03	2103/04	2104/05	2105/06	2106/07	2107/08	2108/09	2109/10	2110/11	2111/12	2112/13	2113/14	2114/15	2115/16	2116/17	2117/18	2118/19	2119/20	2120/21	2121/22	2122/23	2123/24	2124/25	2125/26	2126/27	2127/28	2128/29	2129/30	2130/31	2131/32	2132/33	2133/34	2134/35	2135/36	2136/37	2137/38	2138/39	2139/40	2140/41	2141/42	2142/43	2143/44	2144/45	2145/46	2146/47	2147/48	2148/49	2149/50	2150/51	2151/52	2152/53	2153/54	2154/55	2155/56	2156/57	2157/58	2158/59	2159/60	2160/61	2161/62	2162/63	2163/64	2164/65	2165/66	2166/67	2167/68	2168/69	2169/70	2170/71	2171/72	2172/73	2173/74	2174/75	2175/76	2176/77	2177/78	2178/79	2179/80	2180/81	2181/82	2182/83	2183/84	2184/85	2185/86	2186/87	2187/88	2188/89	2189/90	2190/91	2191/92	2192/93	2193/94	2194/95	2195/96	2196/97	2197/98	2198/99	2199/00	2200/01	2201/02	2202/03	2203/04	2204/05	2205/06	2206/07	2207/08	2208/09	2209/10	2210/11	2211/12	2212/13	2213/14	2214/15	2215/16	2216/17	2217/18	2218/19	2219/20	2220/21	2221/22	2222/23	2223/24	2224/25	2225/26	2226/27	2227/28	2228/29	2229/30	2230/31	2231/32	2232/33	2233/34	2234/35	2235/36	2236/37	2237/38	2238/39	2239/40	2240/41	2241/42	2242/43	2243/44	2244/45	2245/46	2246/47	2247/48	2248/49	2249/50	2250/51	2251/52	2252/53	2253/54	2254/55	2255/56	2256/57	2257/58	2258/59	2259/60	2260/61	2261/62	2262/63	2263/64	2264/65	2265/66	2266/67	2267/68	2268/69	2269/70	2270/71	2271/72	2272/73	2273/74	2274/75	2275/76	2276/77	2277/78	2278/79	2279/80	2280/81	2281/82	2282/83	2283/84	2284/85	2285/86	2286/87	2287/88	2288/89	2289/90	2290/91	229
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